



STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d))—NONPROFIT ORGANIZATION

Docket Number (Optional)
REI-44454

Applicant, Patentee, or Identifier: Michael R. Yeaman and Alexander J. Shen
Application or Patent No.: _____
Filed or Issued: _____
Title: ANTIMICROBIAL PEPTIDES AND DERIVED METAPEPTIDES

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:
NAME OF NONPROFIT ORGANIZATION Harbor-UCLA Research and Education Institute
ADDRESS OF NONPROFIT ORGANIZATION 1124 West Carson Street,
Torrance, CA 90502-2064

TYPE OF NONPROFIT ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☒ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE California)
(CITATION OF STATUTE _____)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING C. William Steers, CAE
TITLE IN ORGANIZATION OF PERSON SIGNING Acting President / CEO
ADDRESS OF PERSON SIGNING 1124 W. Carson St., Torrance, CA 90502-2064
SIGNATURE *C. William Steers* DATE 2/13/98



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Docket No.: REI-44454

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL
ENTITY STATUS (37 CFR 1.9(f) AND 1.27(b)) - INDEPENDENT INVENTOR**

Applicant or Patentee: Michael R. Yeaman

Application or Patent No. _____

Filed or Issued: _____

Title: ANTIMICROBIAL PEPTIDES AND DERIVED METAPEPTIDES

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in

- ☒ the specification filed herewith with the title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under or may be under an obligation under contract or law to assign, grant, convey, or license any rights in invention is listed below:

- ☐ No such person, concern or organization
- ☒ Each such person, concern or organization is listed below

Harbor-UCLA Research and Education Insitute

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statement made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Michael R. Yeaman

2/13/98
Date:

CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of CALIFORNIA

County of Los Angeles

On Feb 13, 1998 before me, John T. Dudley

DATE

NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

personally appeared Michael R. Yeaman

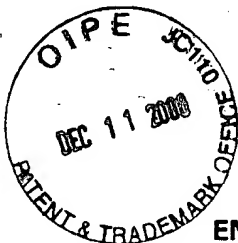
☒ personally known to me -OR- ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose names(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/ their authorized capacity(ies), and that by his/her/their signature(s) on the instrument is the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

John T. Dudley
SIGNATURE OF NOTARY





Docket No.: REI-44454

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL
ENTITY STATUS (37 CFR 1.9(f) AND 1.27(b)) - INDEPENDENT INVENTOR**

Applicant or Patentee: Alexander J. Shen

Application or Patent No. _____

Filed or Issued: _____

Title: ANTIMICROBIAL PEPTIDES AND DERIVED METAPEPTIDES

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in

- ☒ the specification filed herewith with the title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under or may be under an obligation under contract or law to assign, grant, convey, or license any rights in invention is listed below:

- ☐ No such person, concern or organization
- ☒ Each such person, concern or organization is listed below

Harbor-UCLA Research and Education Insitute

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statement made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.


Alexander J. Shen


Date: 2/12/98

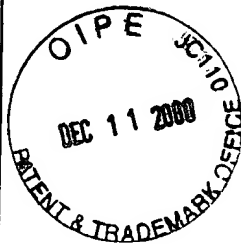
CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of District
County of Columbia

On 12 Feb 98 before me, Alexander J. Shen
DATE NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

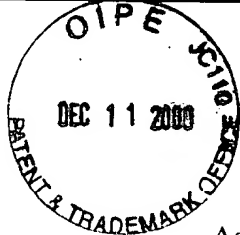
personally appeared before me Robert La Hood, Notary Public

☐ personally known to me -OR- ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose names(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument is the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal

[Signature]
SIGNATURE OF NOTARY
Robert La Hood
Notary Public, District of Columbia
My Commission Expires Feb. 28, 1999



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DECLARATION

As the below-named inventors, we declare that:


Our mailing addresses and citizenships are as stated below under our names.

We believe we are the original, first and joint inventors of the invention entitled "ANTIMICROBIAL PEPTIDES AND DERIVED METAPEPTIDES," which is described and claimed in the specification and claims of C-I-P Application No. 09/648,816, which we filed in the United States Patent and Trademark Office on August 25, 2000 and for which a patent is sought; and that this application in part discloses and claims subject matter disclosed in our earlier-filed Application No. 09/622,561, entitled "ANTIMICROBIAL PEPTIDES AND DERIVED METAPEPTIDES," which we filed in the United States Patent and Trademark Office on August 18, 2000, and which claims the benefit of PCT/US99/03350, filed February 17, 1999.

We have reviewed and understand the contents of the above-entitled specification, including the claims, as amended by any amendment specifically referred to herein (if any).

We acknowledge our duty to disclose information of which we are aware which is material to the patentability and examination of this application in accordance with 37 C.F.R. § 1.56(a), including material information which occurred between the filing date of said earlier-filed application and the filing date of the C-I-P application.

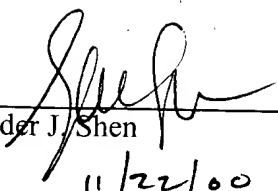
We further declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



Michael R. Yeaman

Date 11/22/2000

Residence : City of Torrance, County of Los Angeles
State of California
Citizenship : United States of America
Mailing Address : c/o Harbor-UCLA Medical Center
1000 West Carson Street
Torrance, California 90502



Alexander J. Shen

Date

11/22/00

Residence

:

City of Torrance, County of Los Angeles
State of California

Citizenship

:

United States of America

Mailing Address

:

c/o Harbor-UCLA Medical Center
1000 West Carson Street
Torrance, California 90502

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ASSIGNMENT

WHEREAS, we, Michael R. Yeaman and Alexander J. Shen (hereinafter referred to as ASSIGNORS), having mailing addresses of c/o Harbor-UCLA Medical Center, 1000 West Carson Street, Torrance, California 90502, and c/o Harbor-UCLA Medical Center, 1000 West Carson Street, Torrance, California 90502, respectively, are the joint inventors of an invention entitled "ANTIMICROBIAL PEPTIDES AND DERIVED METAPEPTIDES," as described and claimed in the specification forming part of a continuation-in-part application for United States letters patent which was filed on August 25, 2000 and assigned Application No. 09/648,816; this application is a continuation-in-part of U.S. Application No. 09/622,561, filed August 18, 2000 as a 371 conversion, which application is pending, and which claims the benefit of PCT US99/03350, filed February 17, 1999.

WHEREAS, Harbor-UCLA Research and Education Institute (hereinafter referred to as ASSIGNEE), a non-profit educational organization of the State of California having a place of business at 1124 West Carson Street, Torrance, California 90502, is desirous of acquiring the entire right, title and interest in and to the invention and in and to any letters patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign and transfer unto said ASSIGNEE, the entire right, title and interest in and to said invention, said application and any and all letters patent which may be granted for said invention in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from said United States application to which said foreign applications are entitled by virtue of international convention, treaty or otherwise, said invention, application and all letters patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNORS had this assignment, transfer and sale not been made. ASSIGNORS hereby authorize and request the Commissioner of Patents and Trademarks to issue all letters patent on said invention to ASSIGNEE. ASSIGNORS agree to execute all instruments and documents required for the making and prosecution of applications for United States and foreign letters

patent on said invention, for litigation regarding said letters patent, or for the purpose of protecting title to said invention or letters patent therefor.

Date 11/22/2000

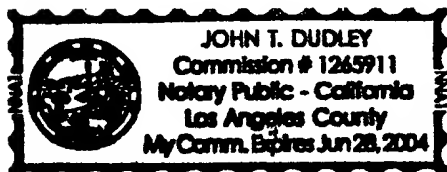
[Signature]
Michael R. Yeaman

State of CALIFORNIA)

County of Los Angeles)

ss.

I certify that I know or have satisfactory evidence that Michael R. Yeaman is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.



Dated November 22, 2000

Signature of Notary Public [Signature]

Printed Name JOHN T. DUDLEY

My appointment expires June 28, 2004

Date 11/22/00

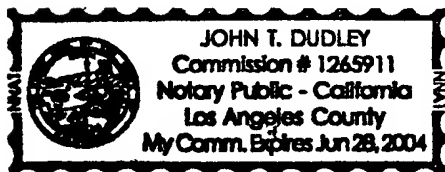
[Signature]
Alexander J. Shen

State of CALIFORNIA)

County of Los Angeles)

ss.

I certify that I know or have satisfactory evidence that Alexander J. Shen is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.



Dated November 22, 2000

Signature of Notary Public [Signature]

Printed Name JOHN T. DUDLEY

My appointment expires June 28, 2004